

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: *Knight, Timothy O.* ) Art Unit: *unknown*  
Serial No.: *not assigned* )  
Filed: August 31, 2001 as a continuation of serial no. ) Examiner: *unknown*  
09/173,853 filed 10/16/98 )  
For: *Stock Trading Application Program* )

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PRELIMINARY AMENDMENT

Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

Applicant respectfully requests entry of the following amendment and response to place this case in condition for allowance:

IN THE SPECIFICATION:

- (a) Please amend the title of the invention to read:  
- - STOCK TRADING APPLICATION PROGRAM -
  
- (b) Please cancel Appendix A, pp. 21 – 64.
  
- (c) Please add the following text at page 1, line 5:

-- CROSS REFERENCE TO RELATED APPLICATIONS

The present application is a continuation of serial no. 09/173,853 filed October 16, 1998 entitled *Graphical Data Collection Interface*, which is hereby incorporated by reference.

- (d) Please insert the following text at the beginning of the specification, just after the  
CROSS REFERENCE TO RELATED APPLICATIONS:

-- CROSS REFERENCE TO MICROFICHE APPENDIX

Appendix A, which forms part of this disclosure and is incorporated by reference herein, is a microfiche appendix consisting of 1 sheet of microfiche having a total of 46 frames. This sheet of microfiche was submitted previously in connection with parent application serial no. 09/173,853. Microfiche Appendix A is a list of computer programs and related data in an embodiment of the present invention, which is described more completely below. --

IN THE ABSTRACT:

Please replace the text in the present Abstract with the following text set forth on the next page:

-- ABSTRACT

A stock trading application program which executes within an Internet browser is provided for capturing user specified subjective information concerning user rationale and logic for purchasing or selling financial instruments such as securities, options, etc. The subjective information is stored as data records which can be examined, analysed and correlated to assist a user in determining whether to engage in particular trades. --

IN THE CLAIMS:

Please cancel claims 1 – 120.

Please add new claims 121 – 145:

121. (New) A program for handling stock trading related transaction information, the program comprising:

a stock trading transaction interface operable within an Internet browser, said stock trading transaction interface being configured to receive the following information for use by the program to create a stock transaction record:

- (i) a potential or actual date for a stock related transaction by a user; and
- (ii) a particular stock associated with said stock related transaction; and
- (iii) user transaction information concerning said stock related transaction, including at least one of the following items of information for engaging in said stock related transaction: (a) a user-subjective rationale; (b) a technical indicator; (c) a third party opinion; (d) and/or a source of said subjective rationale, said technical indicator, and/or said third party opinion;

a feedback interface also operable within said Internet browser, said feedback interface being configured so that stored transaction information from one or more stored stock transaction records from said user or other users of the program can be selectively displayed by said user.

122. (New) The program of claim 121, wherein said feedback interface identifies a financial performance correlated with (a) said user-subjective rationale; and/or (b) said technical indicator; and/or (c) said third party opinion; and/or (d) said source of said subjective rationale, said technical indicator, and/or said third party opinion.

123. (New) The program of claim 121, wherein said stored transaction information includes a calculation of a financial performance associated with one or more stored stock transaction records from said user and/or another user.

124. (New) The program of claim 121, wherein said one or more stock stored stock transaction records are retrievable based on a financial performance of the same.

125. (New) The program of claim 122, wherein said financial performance also includes said user's average financial gain for any of said user's stock transaction records.

126. (New) The program of claim 122, wherein said feedback interface also provides an indicator recommending a course of action to said user.
127. (New) The program of claim 121, wherein said user transaction information stock is collected from said user within a single data collection window.
128. (New) The program of claim 121, wherein said user can rank one or more of said items of information when creating said user transaction information for said stock related transaction to identify particular factors motivating said stock related transaction.
129. (New) The program of claim 121, wherein said transaction information can be retrieved so that said user can display at least one of the following items of information for said one or more stored stock transaction records: (a) said user-subjective rationale; (b) said technical indicator; (c) said third party opinion; (d) and/or said source of said subjective rationale.
130. (New) The program of claim 121, wherein said feedback interface identifies for said user an ideal set of items of information to be used for said stock related transaction, including one or more subjective rationales, and/or or more technical indicators, and/or one or more third party opinions, and/or one or more sources for said technical indicators, subjective rationales and/or third party opinions.
131. (New) The program of claim 121, wherein at least one or more predefined technical indicators, one or more third predefined third party opinions, and/or one or more predefined sources of said predefined technical indicators and predefined third party opinions are provided automatically by the program in said interface for selection by said user.
132. (New) The program of claim 121, wherein said program is implemented in Java programming language, and is executable from a website by an internet user within said Internet browser.
133. (New) The program of claim 121, wherein said stock related transaction record can be modified at a later time to include additional secondary user transaction information, including new insights, understandings and/or lessons learned by said user from said stock related transaction.
134. (New) The program of claim 121, wherein said stock related transaction record further includes a purchase/sale price associated with said stock related transaction.

- Preliminary Amendment for 98-002C
135. (New) A stock trading data collection program for storing and retrieving stock trading transaction information, the stock trading data collection program comprising:
- a database of stock trading transaction records, each stock trading transaction record including the following information:
- (i) a stock trade date associated with a stock trade; and
- (ii) a particular stock associated with said stock trade; and
- (iii) transaction information concerning said stock trade, including at least one of the following items of information for engaging in said stock trade: (a) a subjective rationale; (b) a technical indicator; (c) a third party opinion; (d) and/or a source of said subjective rationale, said technical indicator, and/or said third party opinion; and a query interface operable within an Internet browser, said query interface being configured so that a user can selectively retrieve one or more of said stock transaction records to assist said user in determining whether to buy/sell a particular stock.
136. (New) The program of claim 135, further including a feedback interface providing an expected financial performance predicted based on said user buying/selling said particular stock.
137. (New) The program of claim 135, wherein said query interface is set up to include a number of predefined subjective rationales, and/or a number of predefined technical indicators, and/or a number of predefined third party opinions, and/or a number of predefined sources of said subjective rationale, said technical indicator, and/or said third party opinion to assist said user in locating said one or more stock transaction records.
138. (New) The program of claim 137, wherein said query interface is customizable by said user to include user-defined query factors for retrieving said one or more stock transaction records.

139. (New) A program for handling stock trading related transaction information, the program comprising:

a first stock trading transaction interface operable within an Internet browser, said stock trading transaction interface being configured to receive the following information from a user for use by the program to create a first stock transaction record:

- (i) a date associated with a potential or actual stock purchase; and
- (ii) a particular stock associated with said potential or actual stock purchase; and
- (iii) first transaction information from said user concerning said stock purchase, including at least one of the following items of information for engaging in said purchase of said stock: (a) a user-subjective rationale; (b) a technical indicator; (c) a third party opinion; (d) and/or a source of said subjective rationale, said technical indicator, and/or said third party opinion; and

a second stock trading transaction interface also operable within an Internet browser, said second stock trading transaction interface being further configured to create a second stock transaction record for supplementing said first stock transaction record, said second stock transaction record including second transaction information concerning said stock trade, including any lessons and/or understandings associated with said first stock transaction record;

wherein both said first stock transaction record and said second stock transaction record are retrievable by said user to assist in determining whether to buy/sell a particular stock.

140. (New) The program of claim 139, wherein said first stock transaction record and said second stock transaction record are retrieved within a query interface operable within said Internet browser based on specifying a particular user, and/or a predefined user-subjective rationale, and/or a predefined technical indicator, and/or a predefined third party opinion, and/or a predefined source of said subjective rationale, said technical indicator, and/or said third party opinion.

141. (New) The program of claim 139, wherein said first stock transaction record represents a closed position and also includes: (iv) a sale date for said stock associated with a sale of said stock; and (v) a sale price associated with said sale of said stock.

142. (New) The program of claim 139, wherein said items of information for engaging in said purchase of said stock can be ranked by said user.

143. (New) The program of claim 139, wherein said lessons and/or understandings associated with said first stock transaction record can be ranked by said user.

144. (New) The program of claim 139, wherein said lessons and/or understandings include options for specifying a usefulness of a user-subjective rationale, and/or a technical indicator, and/or a third party opinion, and/or a source of said subjective rationale, said technical indicator, and/or said third party opinion.

145. (New) A method of interacting and providing feedback to an online user concerning a stock trading related transaction, the method comprising the steps of:

- (a) providing a transaction data collection interface operable within an Internet browser, said transaction data collection interface being configured to receive user-specified information concerning the stock trading related transaction;
- (b) creating a stock transaction record based on said user specified information, said stock transaction record being stored on a server accessible to the user over the Internet and including information relating to the following:
  - i) a potential or actual date for the stock trading related transaction; and
  - ii) a particular stock associated with the stock trading related transaction; and
  - iii) user transaction information concerning the stock trading related transaction, including at least one of the following items of information providing a basis for engaging in said stock related transaction: (a) a user-subjective rationale; (b) a technical indicator; (c) a third party opinion; (d) and/or a source of said subjective rationale, said technical indicator, and/or said third party opinion;
- (c) retrieving and displaying selected one or more stored stock transaction records from the user or other users stored on said server, and/or selected information taken from said one or more stored stock transaction records, in response to a first user request;
- (d) performing a calculation on said one or more stored stock transaction records and/or selected information taken from said one or more stored stock transaction records in response to a second user request to generate feedback results for the user;

wherein an electronic diary of the user's stock transaction records is stored at said server and which electronic diary is accessible and modifiable using said transaction data collection interface operating in said Internet browser.

## REMARKS

Original claims 1 – 120 are canceled in favor of new claims 121 – 145, which relate more specifically to the novel features of the securities related program described in the application.

New claim 121 is directed to a program for handling stock trading related transaction information, which has a stock trading transaction interface operable within an Internet browser (as evidence by the fact that it is implemented in Java applets for example – see Appendix 1). This aspect of the invention is discussed at among other places, page 8, ll. 8 – 27, page 10, l. 4+. The stock trading transaction interface is configured to receive a number of items of information not previously handled by prior programs, including, for example (a) a user-subjective rationale; (b) a technical indicator; (c) a third party opinion; (d) and/or a source of said subjective rationale, said technical indicator, and/or said third party opinion. Prior stock/equity related programs have not attempted to collect this type of subjective information from users, so this claim is believed to distinguish over the prior art. The program further includes a feedback interface (*see e.g.*, Fig. 2 and the discussion at pages 17, l. 18 to page 18, l. 22). To Applicant's knowledge, no one has ever successfully implemented such functionality (or disclosed how to do so) within a conventional Internet browser.

New claim 145 is a method claim with similar focus to claim 121, and further emphasizes that the invention allows the user to maintain a type of electronic diary that can be accessed and viewed through a conventional internet browser.

New claims 122 – 134 depend from claim 121, and describe further specific embodiments of the invention which are described at, among other places: page 16, ll. 5 – 17; page 18, ll. 2 – 6 (claim 122); page 16, ll. 5 – 17; page 18, ll. 6 – 11 (claim 123); page 16, ll. 5 – 17; page 18, ll. 6 – 11 (claim 124); page 16, ll. 5 – 17; page 18, ll. 11 – 12 (claim 125); page 18, ll. 20 – 22 (claim 126); page 8, l. 29 to page 9, l. 2 (claim 127); page 11, l. 25+; (claim 128); page 16, ll. 5 – 17; page 18, l. 2+ (claim 129); page 18, ll. 12+ (claim 130); page 10, ll. 4+ (claim 131); Appendix 1, page 8 ll. 13 – 15; (claim 132); page 19, ll. 10+; page 20, ll. 9+ (claim 133); page 8, ll. 22+ (claim 134). These claims should be allowable for the same reasons as claim 121, and because they recite additional limitations not disclosed and/or suggested in the art.

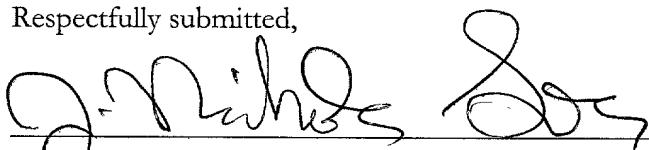
New claim 135 is directed to those embodiments where the new program interface is used as a query interface. *See, e.g.*, page 16 – 20. By being able to specify and selectively retrieve stock transaction records that include even subjective information (i.e., subjective rationales, third party opinions) a user can study the same and thus be assisted in determining whether to buy/sell a

particular stock based on his/her insights and the insights of others. For example, a user can study highly successful (from a financial perspective) trading strategies, and thus glean what indicators/factors are most predictive of success. Claims 136 – 138 depend from claim 135 and should be allowable as well.

New claim 139 is directed to those embodiments of a stock trading program where a second stock trading transaction interface is presented for supplying information concerning “....any lessons and/or understandings” gleaned by the user. For example, a user may enter a rationale for buying a stock using the first stock trading transaction interface (such as “tip from friend X”), and then later (if the user closes out a position) use the second stock trading transaction interface to indicate whether friend X (or the information from friend X) is reliable or useful. This aspect of the invention is discussed at pages 19 – 20. Claims 140 –144 depend from claim 139 and should be allowable as well.

A fee transmittal sheet is enclosed to cover the fees associated with the present amendment. Any deficiency in fees should be charged to deposit account no. 501-244.

Respectfully submitted,



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I hereby certify that the foregoing is being deposited with the U.S. Postal Service by Express Mail Label No. EL009858459US, to the Commissioner of Patents and Trademarks, this 31st day of August 2001.